



*JFW*

DoCKET No. U 014869-6

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: PANG-LUN YANG  
For: METHOD AND APPARATUS FOR PATTERNING AN OPTICAL ELEMENT  
the specification of which:

(check and complete (a), (b), or (c))

- (a) ☐ is attached hereto.  
(b) ☒ was filed on NOV. 18, 2003, as Application Serial No. 10/716,068 and was amended on \_\_\_\_\_ (if applicable).  
(c) ☐ was described and claimed in International Application No. \_\_\_\_\_, filed on \_\_\_\_\_ and as amended on \_\_\_\_\_ (if any).

STATEMENT OF FACTS IN SUPPORT OF FILING  
ON BEHALF OF NONSIGNING INVENTOR (37 CFR 1.47)

NOTE: This statement as to the pertinent facts concerning the refusal of the nonsigning inventor to join in the application or where the nonsigning inventor cannot be found or reached must accompany the declaration signed on behalf of the nonsigning inventor by a joint inventor or by a legal representative who shows a proprietary interest. Where the entity with a proprietary interest executes the declaration on behalf of the nonsigning inventor there must also be a showing that such action is necessary to preserve the rights of the parties or to prevent irreparable damage. 37 CFR 1.47(a) and (b).

This statement is made as to the exact facts that are relied upon to establish the diligent effort made to secure the execution of the declaration by the nonsigning inventor for the above identified patent application before deposit thereof in the Patent and Trademark Office.

(check next item, if applicable)

- [X] Because signing on behalf of the nonsigning inventor is by a person or entity showing a sufficient proprietary interest, this statement also recites facts as to why this action was necessary to preserve the rights of the parties or to prevent irreparable damage.

This statement is being made by the available person having first-hand knowledge of the facts recited therein.

NOTE: The statement must be signed, where at all possible, by a person having first-hand knowledge of the facts recited therein. @ MPEP ' 409.03(d). If different persons have first-hand knowledge of different facts, then a declaration from each such person as to those facts he or she knows should be submitted separately.

NOTE: Copies of documentary evidence, such as certified mail return receipt, cover letter of instructions, telegrams, etc., that support a finding that the nonsigning inventor could not be reached should be made part of the affidavit or declaration. It is important that the affidavit or declaration contain statements of fact as opposed to conclusions. M.P.E.P. ' 409.03(d), 7<sup>th</sup> ed.

**IDENTIFICATION OF PERSON MAKING THIS STATEMENT OF FACTS**

Hsin Che Hsieh

Name of person making statement

157 SHAN-YING ROAD, GUEISHAN, TAOYAUN 333, TAIWAN, R.O.C.

Address of person making statement

  

---

**EFFORTS DURING CONVENTION YEAR TO PREPARE APPLICATION AND  
OBTAIN INVENTOR'S SIGNATURE**

*NOTE: In cases where priority under 35 U.S.C. ' 119 is to be claimed, the 37 C.F.R. ' 1.47 applicant should explain what efforts, if any were made during the Convention year to prepare the application and obtain the inventor's signature thereon. The period allowed by the Convention year should "be sufficient for the preparation and deposit of an application. . . in the form required by the rules." . . Accordingly, 37 C.F.R. ' 147 may not be used "to save the parties from the consequences of their delay." M.P.E.P. ' 409.03(d), 7<sup>th</sup> ed.*

A DECISION ABOUT PRIORITY FILING UNDER 35 USC 119 WAS DELAYED FOR COMMERCIAL CONSIDERATIONS BUT, NEVERTHELESS, HAD BEEN REACHED PRIOR TO OCTOBER 16, 2003, WHEN I CALLED THE INVENTOR

*(use Supplemental Page(s), if necessary)*

## LAST KNOWN ADDRESS OF THE NONSIGNING INVENTOR

*NOTE: The last known address of the nonsigning inventor must be stated so that the PTO can forward the notice of filing of the application to the nonsigning inventor at said address. (37 C.F.R. ' 1.47). A post office box is insufficient. M.P.E.P. ' 409.03(e), 6<sup>th</sup> ed.*

PANG-LUN YANG

Full name of nonsigning inventor

3F-2, NO. 2, LANE 71, SZU WEI ROAD, WU CHI CHEN, TAICHUNG HSIEN, TAIWAN, R.O.C.

Last known address of nonsigning inventor

*NOTE: Ordinarily, the last known address will be the last known address of the nonsigning inventor, but other addresses at which the nonsigning inventor may be reached should also be given in the space below. M.P.E.P. ' 409.03(e), 6<sup>th</sup> ed.*

## DETAILS OF EFFORTS TO REACH NONSIGNING INVENTOR

*NOTE: Complete either these facts or the facts as to REFUSAL OF NONSIGNING INVENTOR TO SIGN APPLICATION PAPERS.*

*NOTE: In addition to a recitation of these efforts, which must have been made before the application was deposited in PTO, copies of documentary evidence such as letters, telegrams, responses, etc. that support a finding that a nonsigning inventor could not be found or reached should, if available, be made part of the declaration. It is important that the affidavit or declaration contain statements of fact as opposed to M.P.E.P. ' 409.03(d), 7<sup>th</sup> ed. conclusions.*

MS. YU HUI SUNG REACHED PANG-LUN YANG VIA TELEPHONE ON OCTOBER 16, 2003. DURING THIS CONVERSATION, HE TOLD MS. YU HUI SUNG THAT HE WAS NO LONGER AN EMPLOYEE OF BENQ CORPORATION AND, AS SUCH, HE REFUSED TO SIGN ANY DECLARATION OF HIS PENDING PATENT APPLICATIONS ASSIGNED TO BENQ CORPORATION.

NEVERTHELESS, MS. SUNG AND I WORKED TOGETHER TO SEND THE WHOLE APPLICATION (SPECIFICATION, CLAIMS, DRAWING) AND A DECLARATION TO THE INVENTOR BY REGISTERED MAIL ON MAY 31, 2004.

A COPY OF THE REGISTERED MAIL RECEIPT OF MAY 31, 2004 IS ATTACHED TOGETHER WITH A TRANSLATOR ATTESTED ENGLISH TRANSLATION THEREOF.

NO RESPONSE HAS BEEN RECEIVED.

*(use Supplemental Page(s), if necessary)*



## DETAILS OF REFUSAL OF NONSIGNING INVENTOR TO SIGN APPLICATION PAPERS

*NOTE: Complete either these facts or the facts as to DETAILS OF EFFORTS TO REACH NONSIGNING INVENTOR.*

*NOTE: The circumstances of this refusal must be specified by the person to whom the refusal was made and, before a refusal can be alleged, it must be demonstrated that a bona fide attempt was made to present a copy of the application papers (specification, including claims, drawings and declaration) to the nonsigning inventor for signature. A copy of the application papers should be sent to the last known address of the nonsigning inventor, or, if the nonsigning inventor is represented by counsel, to the address of the nonsigning inventor's attorney. The time and place of an oral refusal should be stated, or a copy of the written refusal should be attached.*

*If it is the conduct as a whole of the nonsigning inventor that is the refusal, then all the facts upon which this conclusion is based should be stated and a copy of any documentary evidence supporting these facts should be attached.*

*Where there is an express oral refusal, that fact along with the time and place of the refusal must be stated in the affidavit or declaration. When there is an express written refusal, a copy of the document evidencing that refusal must be made part of the affidavit or declaration.*

*Whenever the nonsigning inventor gives a reason for refusing to sign the application papers, that reason should be stated. MPEP ' 409.03(d), 7<sup>th</sup> ed .*

SEE ABOVE

*(use Supplemental Page(s), if necessary)*

**PROOF OF NEED TO PREVENT IRREPARABLE DAMAGE  
OR PRESERVE THE RIGHTS OF THE PARTIES**

*NOTE: This proof **must** be presented where the declaration is signed by a person with sufficient proprietary interest for the nonsigning inventor (37 CFR 1.47(b)), but is not a requirement when the person signing for the nonsigning inventor is a joint inventor. (37 CFR 1.47(a)).*

*If a statutory bar is involved, the act or publication which is believed to constitute the bar should be identified. If a claim for priority is involved, the prior application or applications should be identified.*

*A diligent effort to prepare the application and obtain the inventor's signature thereon must be made, even if the application is being filed to avoid a bar or to claim priority. MPEP ' 409.03(g), 7<sup>th</sup> ed.*

*Irreparable damage may be established by showing that a filing date is necessary to (1) avoid a statutory bar or (2) make a claim for priority, which should identify the prior application(s) involved.*

*Preservation of the rights of the parties may be demonstrated by a showing that the nonsigning inventor may reasonably be expected to enter into competition with the person having a proprietary interest and signing on behalf of the nonsigning inventor or that a firm plan for commercialization of the subject matter of the application has been adopted.*

*MPEP ' 409.03(g), 7<sup>th</sup> ed.*

PRIORITY IS DESIRED FROM TW 91134116 OF NOVEMBER 22, 2002, PUBLICATION OF WHICH WOULD NOW BAR THE US APPLICATION

*(if this proof is not needed and not being presented,  
then draw a line through this page of the form.)*

*(use Supplemental Page(s), if necessary)*





Date: ☒ 2007 / 3 / 26

☒ Hsin-Cho Hsieh  
Signature of person making statement

☐ Plus \_\_\_\_\_ Added Page(s)



Applicant's Docket No. U 014869-6

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: **PANG-LUN YANG**

Application No.: **10/716,068**

Group No :

Filed:

Examiner:

For: **Processing Method For Patterning The Surface Of An Optical Element**

**Commissioner for Patents**

**P. O. Box 1450**

**Alexandria, VA 22313-1450**

**STATEMENT OF ACCURACY OF A TRANSLATION**  
**37 C.F.R. SECTIONS 1.52(d), 1.55(a), 1.69)**

I, the below named translator, hereby state that:

My name and post office address are as stated below;

That I am knowledgeable in the English language and in the language of the

☒ attached document COPY

☐ below identified document

and I believe the attached English translation to be a true and complete translation of this document.

---

**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))**

I hereby certify that this correspondence is, on the date shown below, being:

**MAILING**

deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P O Box 1450, Alexandria, VA 22313-1450

Date: March 27, 2007

**FACSIMILE**

transmitted by facsimile to the Patent and Trademark Office.

Signature

W Evans

(type or print name of person certifying)

*(identify attached or previously filed document)*

The document for which the attached English translation is being submitted is

REGISTERED MAIL RECEIPT OF MAY 31, 2004

*(check and complete, if applicable)*

☐ This foreign language document was filed in the PTO on \_\_\_\_\_

Date: ☒ Mar. 21, 2007

Full name of the translator ☒ Min-Chen Tu

Signature of the translator ☒ Min-Chen Tu

Post Office Address ☒ 9F, No.53, Sec.2, Nan-King E. Road, Taipei, Taiwan 104, R.O.C.



A91192/2002-214US

Registered Mail Receipt  
No. 958262 330006 10 43500 1

To: Wu Chi Chen, Taichung Hsien

Zip Code: 435

Sender's phone number: 03-

Category: Mail

Weight: 103g

Cost: NT\$45

Stamps: NT\$45

Business cost: NT\$0

Seal:

Gueishan

May 31, 2004

Min An Street

Person in Charge: 337236

※ If there is any inquiry regarding this mail, please make  
It within 6 months from the delivery date with this  
receipt.

Service Line: 0800-700365

<http://www.post.gov.tw>

掛號函件執據  
第 958262 330006 10 43500 1 號

寄達地 : 臺中縣梧棲 435  
寄件人電話: 03-

類別	: 信函	103 公克	93.05.31-18 111 年安街
重量	: 45.0 元		
郵費	: 45.0 元		
已貼票券	: 0.0 元		

A91192

辦件員: 337236

※ 日後如須查詢，應於交寄日起六個  
月內為之，並交驗本執據。

服務專線: 0800-700365

<http://www.post.gov.tw>